

Enforcement Actions

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29 May 2006

SFC Makes Progress in Inquiry into Whole Win Securities

The SFC issues this statement to update the clients of Whole Win Securities and the public of the progress made in its inquiry into Whole Win Securities Limited.

SFC staff have been making further inquiries into the records of Whole Win Securities since 26 May 2006, when the SFC issued a restriction notice on the firm (Note 1). The restriction notice prohibits the company from dealing with and disposing of its assets and assets held on behalf of clients.

The SFC has sent a team of staff to the office of Whole Win Securities to conduct inquiries with the management of the firm.

The SFC also intends to seek a court order appointing an administrator for the orderly and expeditious return of clients' assets.

Clients of Whole Win Securities who are concerned about possible losses may register a claim against the Investor Compensation Fund. Clients may contact the Investor Compensation Company Limited (Address: Room 408, 4/F, St. George's Building, 2 Ice House Street, Central, Hong Kong. Tel: 2523 7382).

As of 5pm today, the Investor Compensation Company had received 25 telephone enquiries from investors. 12 investors have collected the claim forms and two claim applications have been received.

The SFC Investor Hotline continues to be open for investors' questions. As of 5pm, it had received 120 enquiries today.

According to Whole Win Securities' record, there were 446 active clients as of 30 April 2006 – 198 cash clients and 248 margin clients.

The SFC wishes to emphasise that there is evidence that the matter is a conduct

issue and is not related to the recent market correction. The SFC has not received any report from broker firms of material withdrawal or account closing requests from clients.

The SFC will issue further announcements when appropriate.

Ends

Notes to Editor:

1. Please see SFC press releases dated [26](#) and [27 May](#).

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